

CONTRACT REQUESTS FORM (CRF)

CEC-94 (07/10)

CALIFORNIA ENERGY COMMISSION



☒ New Contract ☐ Amendment to Existing Contract: _____ Amendment Number: _____

Division	Contract Manager:	MS-	Phone	CM Training Date
Energy Research and Development	Chris Scruton	49	916-327-2341	8/1/2001

Contractor's Legal Name	Federal ID Number
The Regents of the University of California, - CIEE	94-3067788

Title of Project
Public University Energy Efficiency Research Projects

Term	Start Date	End Date	Amount
New/Original Contract	6/30/2011	12/31/2014	\$ 3,978,590

Line up the Amendment information as best as possible within the following table.

Amendment #	End Date (mm/dd/yy)	Amount

Business Meeting Information

Proposed Business Meeting Date	5/18/2011	<input type="checkbox"/> Consent	<input checked="" type="checkbox"/> Discussion
Business Meeting Presenter	Chris Scruton	Time Needed:	5 minutes

Agenda Item Subject and Description

Possible approval of Contract 500-10-048 for \$3,978,590 with the Regents of the University of California, California Institute for Energy and the Environment, to conduct eleven research and development projects to advance distributed energy and solar hot water generation, and to improve the efficiency of heating, ventilation, air conditioning, and lighting systems. (PIER Electricity and Natural Gas) Contact: Chris Scruton (5 minutes)

Business Meeting approval is not required for the following types of contracts: *Executive Director's signature is required in all cases.*

- ☐ Contracts less than \$10k (*Policy Committee's signature is also required*)
- ☐ Amendment for a no-cost time extension. Must be first extension, less than one year and original contract less than \$100k.
- ☐ Contracts less than \$25k for Expert Witness in Energy Facility licensing cases and amendments.

Purpose of Contract or Purpose of Amendment, if applicable

The purpose of this contract is to conduct eleven research and development projects which will develop technologies to improve energy efficiency in buildings and appliances and utilization of renewable energy resources. The projects specifically address utilization of biomass resources, integration of solar energy with hot and chilled water generation and distribution systems, increasing the efficiency of large ventilation fan motors, and improving specification and instructions for instruments used to repair air conditioning systems and to measure the quality of indoor environments.

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**California Environmental Quality Act (CEQA) Compliance**

1. Is Contract considered a "Project" under CEQA?
☒ Yes: skip to question 2 ☐ No: complete the following (PRC 21065 and 14 CCR 15378):
 Explain why contract is not considered a "Project":
 Contract will not cause direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment because .
2. If contract is considered a "Project" under CEQA:
☒ a) Contract **IS** exempt. (Draft NOE required)
☐ Statutory Exemption. List PRC and/or CCR section number: _____
☒ Categorical Exemption. List CCR section number: 14CCR 15306, 15329
☐ Common Sense Exemption. 14 CCR 15061 (b) (3)
 Explain reason why contract is exempt under the above section:
 The contract will fund projects designed to improve energy efficiency in buildings and increase the use of renewable energy sources through research and technology development. The project involve development and demonstration of a concentrating solar power system, development of adaptive lighting and envelope technologies, documentation of the performance of an existing combined cooling, heat and power system and development of advanced gas cleaning methods.
☐ b) Contract **IS NOT** exempt. The Contract Manager needs to consult with the Energy Commission attorney assigned to their division and the Siting Office regarding a possible Initial Study.

Budgets Information

Contract Amount Funded		Breakdown by FY			Funding Sources			
Funding Source	Amount	FY	Amount	Approved?	Funding Source	FY	Budget List No.	Amount
ARFVTF	\$	10-11	\$3,978,590	Yes	PIER-E	09-10	501.027	\$1,986,500
ECAA	\$		\$		NG	09-10	501.001	\$1,992,090
State- ERPA	\$		\$					\$
Federal	\$		\$					\$
PIER - E	\$1,986,500		\$					\$
PIER - NG	\$1,992,090		\$					\$
Reimbursement	\$		\$					\$
Other	\$		\$					\$
TOTAL:	\$3,978,590	TOTAL:	\$3,978,590		TOTAL: \$3,978,590			
Reimbursement Contract #:					Federal Agreement			

Contractor's Administrator/ Officer

Name:	Ken Krich	Name:	Ken Krich
Address:	2087 Addison St Fl 2	Address:	2087 Addison St Fl 2
City, State, Zip:	Berkeley, CA 94704-1103	City, State, Zip:	Berkeley, CA 94704-1103
Phone/ Fax:	510-287-3307 / 510-225-2520	Phone/ Fax:	510-287-3307 / 510-225-2520
E-Mail:	ken.krich@ucop.edu	E-Mail:	ken.krich@ucop.edu

Contractor Is

- ☐ Private Company (including non-profits)
☒ CA State Agency (including UC and CSU)
☐ Government Entity (i.e. city, county, federal government, air/water/school district, joint power authorities, university from another state)

Selection Process Used

- ☐ Solicitation Select Solicitation Type Solicitation #: _____
☐ Non Competitive Bid (Attach CEC 96)
☒ Exempt Interagency

Civil Service Considerations

- ☒ Not Applicable (Contract is with a CA State Entity or a membership/co-sponsorship)
☐ Public Resources Code 25620, et seq., authorizes the Commission to contract for the subject work. (PIER)

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- ☐ The Services Contracted:
- ☐ are not available within civil service
 - ☐ cannot be performed satisfactorily by civil service employees
 - ☐ are of such a highly specialized or technical nature that the expert knowledge, expertise, and ability are not available through the civil service system
- ☐ The Services are of such an:
- ☐ urgent
 - ☐ temporary, or
 - ☐ occasional nature
- that the delay to implement under civil service would frustrate their very purpose.

Justification:**Payment Method**

- ☒ A. Reimbursement in arrears based on:
- ☐ Itemized Monthly
 - ☒ Itemized Quarterly
 - ☐ Flat Rate
 - ☐ One-time
- ☐ B. Advanced Payment
- ☐ C. Other, explain:

Retention

1. Is contract subject to retention? ☒ No ☐ Yes
- If Yes, Do you plan to release retention prior to contract termination? ☐ No ☐ Yes

Justification of Rates

Rates charged in this contract by the University of California are U.C. published rates and the overhead rates are the negotiated rates with the Energy Commission. Monthly rates for UC professors in this contract range from \$21,500 to 410,100. Monthly salaries for CSU professors (Key subcontractor #1) in this contract are \$10,100. This is considered reasonable, since it's at the low end of the UC professor salary range. Minor subcontractor SunTherm is charging \$35/hour for their minor subcontract, which is self-evidently reasonable and economical.

Disabled Veteran Business Enterprise Program (DVBE)

1. ☒ Not Applicable
2. ☐ Meets DVBE Requirements DVBE Amount:\$ _____ DVBE %: _____
- ☐ Contractor is Certified DVBE
 - ☐ Contractor is Subcontracting with a DVBE: _____
3. ☐ Requesting DVBE Exemption (attach CEC 95)

Is Contractor a certified Small Business (SB), Micro Business (MB) or DVBE?

If yes, check appropriate box: ☐ SB ☐ MB ☐ DVBE

Is Contractor subcontracting any services?

	<input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes
If yes, give company name and identify if they are a Small Business (SB), Micro Business (MB) and/or DVBE:		
California Polytechnic State University	<input checked="" type="checkbox"/> No	<input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE
Sun Therm Energy Inc.	<input checked="" type="checkbox"/> No	<input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE
	<input type="checkbox"/> No	<input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE
	<input type="checkbox"/> No	<input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE
	<input type="checkbox"/> No	<input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE
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	<input type="checkbox"/> No	<input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE
	<input type="checkbox"/> No	<input type="checkbox"/> SB <input type="checkbox"/> MB <input type="checkbox"/> DVBE

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**Miscellaneous Contract Information**

- | | | |
|---|--|---|
| 1. Will there be Work Authorizations? | <input checked="" type="checkbox"/> No | <input type="checkbox"/> Yes |
| 2. Will there be IT expenditures? | <input checked="" type="checkbox"/> No | <input type="checkbox"/> Yes |
| 3. Is the Contractor providing confidential information? | <input checked="" type="checkbox"/> No | <input type="checkbox"/> Yes |
| 4. Is the contractor going to purchase equipment? | <input type="checkbox"/> No | <input checked="" type="checkbox"/> Yes |
| 5. Check frequency of progress reports
<input type="checkbox"/> Monthly <input checked="" type="checkbox"/> Quarterly <input type="checkbox"/> _____ | | |
| 6. Will a final report be required? | <input type="checkbox"/> No | <input checked="" type="checkbox"/> Yes |
| 7. Is the contract, with amendments, longer than a year? If yes, why? | <input type="checkbox"/> No | <input checked="" type="checkbox"/> Yes |
- Because of their nature, the research projects require more than a year to complete.
 The Department of General Services has agreed to give the Commission blanket authority to execute multi-year contracts to support the Commission's RD&D Programs.

The following items should be attached to this CRF

- | | | |
|---|---|--|
| 1. Scope of Work, Attach as Exhibit A. | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |
| 2. Budget Detail, Attach as Exhibit B. | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |
| 3. CEC 96, NCB Request | <input checked="" type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 4. CEC 30, Survey of Prior Work | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |
| 5. CEC 95, DVBE Exemption Request | <input checked="" type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 6. Draft CEQA Notice of Exemption (NOE) | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |
| 7. Resumes | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |

Contract Manager_____
Date_____
Office Manager_____
Date_____
Deputy Director_____
Date

The following signatures are only required when contract approval is delegated to the Executive Office and not approved at a Business Meeting.
 See Business Meeting Information Section.

Presiding Policy Committee_____
Date_____
Associate Policy Committee_____
Date_____
Executive Director_____
Date